APPENDIX A: COMMON ERROR MESSAGES

***This appendix lists common error messages, the reasons
each one may occur, and corrective actions for each error.***

This appendix describes the most commonly encountered error messages that are used within the Automated Export System (AES) to ensure the integrity and completeness of data input or revisions.   Corrective actions are also presented to help users avoid encountering the errors.

Each error message begins with a 3-position identifier code. In some cases, more than one error message is returned. The messages in this appendix are arranged in numerical order by these codes, not by the words in the actual messages.

Each message has a three-part explanation. First, Data Element (if applicable) lists the individual items with which AES has found an error or discrepancy. Second, the Reason for the error message discusses the most common causes of the error; and, third, the Resolution provides guidelines for resolving the error. If applicable, relevant data sources (appendices and directives) are also provided.

Note: This appendix makes reference to a number of codes, such as inbond, export information, domestic/foreign code, etc. Please be aware that the codes listed in this appendix are acceptable for the CATAIR format. UN/EDIFACT, CAMIR, and ANSI-X12 formats must be checked to ensure the proper code is submitted for these formats.

The Data Universal Numbering System (DUNS) is a registered trademark of the Dun & Bradstreet Corporation.

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The following messages occur when an error exists in the transmission or translation of the data from the transmitter to AES.

001 FATAL ERR - TRANSMITTER NOT AUTHORIZED

Reason: The translation error message occurs when the transmitter is not authorized to transmit data to AES.

Resolution: The transmitter must contact the Customs client representative for instructions on getting authorization to transmit data to AES.

002 FATAL ERR - INVALID TRANSMITTER PASSWORD

Reason: The translation error message occurs when the password transmitted is invalid.

Resolution: The transmitter must provide a valid password. If necessary, the transmitter should contact the Customs client representative for instructions on obtaining a valid password.

003 FATAL ERR - INVALID APPLICATN IDENTIFIER

Reason: A warning message occurs when the Application Identifier is missing or invalid. The valid Application Identifiers are XP=Commodity Data Input, XT=Acceptance rejection message, XN=Status notifications.

Resolution: Provide the correct Application Identifier as listed above.

005 FATAL ERR - MISSING EXPORT/ARRIVAL DATE
006 FATAL ERR - INVALID EXPORT/ARRIVAL DATE

Data Elements: Date of Exportation, Date of Arrival [for exports to Puerto Rico]

Reason: The warning message occurs when the date format is invalid or missing. Note: The thirty-first day of the month cannot be reported for shortened months.

Resolution: Commercial documentation or other competent information should be examined to verify the proper date of exportation or date of arrival (for exports to Puerto Rico) is reported. The Date must be numeric and the format must be in century/year/month/day or CCYYMMDD.

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008 FATAL ERR - INVALID RECORD IDENTIFIER

Reason: The translation error occurs when the record identifier transmitted is not reported in the first three positions of the record.

Resolution: The transmitter must provide the correct identifier, as referenced in the EDI formats.

009 FATAL ERR - TRAILER "Y" MISSING

Reason: The translation error occurs when the trailer record is missing.

Resolution: The transmitter must provide the "Y" record referred to in the EDI formats.

010 FATAL ERR - TRAILER "Z" MISSING

Reason: The translation error occurs when the trailer record is missing.

Resolution: The transmitter must provide the "Z" record referred to in the EDI formats.

013 FATAL ERR - SHIPMENTS DON'T MATCH TOTALS

Reason: The translation error occurs when the shipment total numbers transmitted do not match the "Y" record.

Resolution: The shipment totals should be corrected and resubmitted.

015 FATAL ERR - HDR "A" TRAILER "Z" NO MATCH

Reason: The translation error message occurs when the batch control number in "A" and "Z" records do not match.

Resolution: The transmitter must be sure that the batch control numbers match in records "A" and "Z".

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016 FATAL ERR - NON-NUMERIC NET FIRST QTY
017 FATAL ERR - NON-NUMERIC NET SECOND QTY
018 FATAL ERR - NON-NUMERIC VALUE OF GOODS
019 FATAL ERR - NON-NUMERIC GROSS SHIP WGHT

Data Elements: Net First Quantity, Net Second Quantity, Value of Goods, Gross Shipping Weight

Reason: The translation error message occurs when the Net First Quantity, Net Second Quantity, Value of Goods, or Gross Shipping Weight is transmitted in an invalid non-numeric format.

Resolution: The transmitter of the data must verify the Net First Quantity, Net Second Quantity, Value of Goods, or Gross Shipping Weight is reported in a numeric amount, rounded off to a whole number, omit decimals.

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The following messages occur when the Exporter, or Forwarding Agent, Carrier or NVOCC acting on behalf of the Exporter, has reported the export shipment information in error. The messages resulting from a fatal error, unless correctly resubmitted, will result in a rejected transmission.

020 FATAL ERR - DATA RECORDS OUT OF SEQUENCE

> Data Elements: Affects all CATAIR records: A, B, SC1, SC2, SC3, N01, N02, N03, CL1, CL2, CL3, EV1, Y, AND Z.

> Reason: The fatal error occurs when the data records listed above are out of sequence.

> Resolution: The transmitter of the data must report the data records in the following sequence: A, B, SC1, SC2, SC3, N01, N02, N03, CL1, CL2, CL3, EV1, Y, AND Z.

021 FATAL ERR-INVALID EXPRTER IRS NUM FORMAT   **Added 11/15/96**

> Data Elements: Exporter IRS Number

> Reason: The fatal error occurs when the Exporter IRS Number contains less than 9 positions or contains alphanumeric characters.

> Resolution: The transmitter of the data must report a valid Exporter IRS Number in the B record which consists of a 9 position numeric number.

022 FATAL ERR - MISSING EXPORTER ID TYPE
023 FATAL ERR - INVALID EXPORTER ID TYPE
> Data Elements: Exporter Identification Number

> Reason: The fatal error message occurs when the Exporter Identification Number is entered and the Exporter Identification Type is invalid or missing.

> Resolution: Commercial documentation or other competent information should be examined to verify the one-digit alphabetic Identification Type is reported as D, for Data Universal Numbering System (DUNS), S, for (SSN) Social Security Number, or E, for Employer Identification Number (EIN) Number.

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024 FATAL ERR - MISSING EXPORTER ID NUMBER
Data Elements: Exporter Identification Number

Reason: The fatal error message occurs when the Identification Number is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Identification Number is correctly reported in the form of Employer Identification Number (EIN), SSN or Data Universal Numbering System (DUNS). If the Data Universal Numbering System (DUNS) is unknown, there is no charge to obtain one, just call Dun & Bradstreet at 1-800-333-0505.

025 FATAL ERR - EXPORTER ID NMBR NOT ON FILE
Data Elements: Exporter Identification Number

Reason: The fatal error message occurs when the Identification Number reported is not on file in AES.

Resolution: The transmitter must verify the Identification Number is correctly reported. If AES does not recognize the Identification Number, then it is not on file in AES, and the transmitter must establish a new profile in the Party Profile Information Record. This includes submitting Company Name, Identification Number (if different from IRS) IRS Number, Street Address, City, State, Postal Code, Contact Person, and Contact Person's Phone Number.

026 FATAL ERR - MISSING EXPORTER IRS NMBR TYPE
027 FATAL ERR - INVALID EXPORTER IRS NMBR TYPE
Data Elements: Exporter IRS Number

Reason: The fatal error message occurs when the Exporter IRS Number Type is missing and a) the Exporter IRS Number is entered **OR** b) the Exporter Identification information was left blank.

Resolution: Commercial documentation or other competent information should be examined to verify the one-digit alphabetic IRS Number Type is reported as S, for (SSN) Social Security Number, or E, for Employer Identification Number (EIN) Number.

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028 FATAL ERR - MISSING EXPORTER IRS NUMBER

Data Elements: Exporter IRS Number

Reason: The fatal error message occurs when the IRS Number is missing **AND** the exporter Identification Number has not been entered.

Resolution: Commercial documentation or other competent information should be examined to verify the IRS Number is correctly reported. Note: the IRS Number is nine alphanumeric characters, the letter O, I, and Z cannot be used in an IRS suffix (however, there are some exceptions for numbers assigned prior to this ACS rule), and there are no dashes required.

029 FATAL ERR - EXPORTER IRS NUMBR NOT ON FILE

Data Elements: Exporter IRS Number, Exporter Name, Address, City, State, Postal Code

Reason: The fatal error message occurs when the IRS Number is not on file in AES.

Resolution: The transmitter must verify the Exporter IRS Number is correctly reported. If AES does not recognize the Exporter IRS Number, then it is not on file in AES, and the transmitter must establish a new profile in the Party Profile Information Record. This includes submitting Company Name, IRS Number, Street Address, City, State, Postal Code, Contact Person, and Contact Person's Phone Number. If a DUNS Number is submitted as the Identification Number for the Exporter, the IRS Number reported must correspond to only **ONE** DUNS Identification Number.

030 FATAL ERR - MISSING EXPORTER NAME

Data Elements: Exporter Name, Exporter Identification Number

Reason: The fatal error message occurs when the Exporter Identification Number is missing or not on file in AES and the Name is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Name of the business is correctly submitted.

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<u>031 FATAL ERR - MISSING EXPORTER STR ADDRESS</u>
Data Elements: Exporter Street Address, Exporter Identification Number

Reason: The fatal error message occurs when the Exporter Identification Number is missing or not on file on AES and the Street Address is missing.

Resolution: Provide the Street Address.

<u>032 FATAL ERR - MISSING EXPORTER CITY</u>
Data Elements: Exporter City

Reason: The fatal error message occurs when the Exporter Identification Number is missing or not on file on AES and the City is missing.

Resolution: Provide the City.

<u>033 FATAL ERR - MISSING EXPORTER STATE</u>
<u>034 FATAL ERR - INVALID EXPORTER STATE</u>
Data Elements: Exporter State

Reason: The fatal error message occurs when the Exporter Identification Number is missing or not on file on AES and the two-digit character abbreviation U.S. State Code reported is missing or invalid.

Resolution: Provide the State code. The Exporter and Agent must provide the two-digit character abbreviation U.S. State Code, including U.S. territories.

<u>035 FATAL ERR - MISSING EXPORTER POSTAL CODE</u>
Data Elements: Exporter Postal Code

Reason: The fatal error message occurs when the Exporter Identification Number is missing or not on file on AES and the Postal Code (maximum nine-digits) is missing.

Resolution: Provide the Postal Code (maximum nine-digits) which pertains to the city and state of the Exporter.

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036 FATAL ERR - MISSING EXPORTER CONTCT PERSON
>   Data Elements: Exporter Contact Name

>   Reason: The fatal error message occurs when the Exporter Identification
>   Number is missing or not on file on AES and the Contact Name is missing.

>   Resolution: Provide the Name of the person to contact for verification of the
>   export shipment.

037 FATAL ERR - MISSING EXPORTER PHONE NUMBR
>   Data Elements: Exporter Contact Phone Number

>   Reason: The fatal error message occurs when the Exporter Identification
>   Number is missing or not on file on AES and the Contact Phone Number is
>   missing.

>   Resolution: Provide the Phone Number of the Contact Person.

038 FATAL ERR-INVALID EXPORTER ID NUM FORMAT   **Added 11/15/96**
>   Data Elements: Exporter ID Number

>   Reason: The fatal error message occurs when the Exporter ID Number contains
>   less than 9 positions or contains alphanumeric characters.

>   Resolution: The transmitter of the data must report a valid Exporter ID Number in
>   the B record which consists of a 9 position numeric number.

>   Resolution: Provide the Phone Number of the Contact Person.

042 FATAL ERR - MISSING ULT CONSIGNEE ID TYPE
043 FATAL ERR - INVALID ULT CONSIGNEE ID TYPE
>   Data Elements: Party ID Type, ID Number, Party Type

>   Reason: The fatal error message occurs when the Ultimate Consignee ID
>   number (SSN, EIN or DUNS) has been reported, but the ID Type corresponding
>   to the ID number as either an S for SSN, E for EIN or D for DUNS is missing or
>   invalid.

>   Resolution: Provide either an S for SSN, E for EIN or D for DUNS, which
>   corresponds to the ID Number.

044 FATAL ERR - MISSING ULT CONSIGNEE ID NUMBR

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Data Elements: Ultimate Consignee Identification Type, Ultimate Consignee Identification Number

Reason: The fatal error message occurs when a valid Ultimate Consignee Identification Type has been reported and the Ultimate Consignee Identification Number is missing.

Resolution: The transmitter must verify that when an Identification Type has been reported that a Identification Number is correctly reported. If the Identification Number is unknown, then NO Identification Type should be reported.

045 FATAL ERR - ULT CONSIGNEE ID NOT ON FILE
Data Elements: Ultimate Consignee Identification Number

Reason: The fatal error message occurs when the Ultimate Consignee Identification Number is reported and not on file in AES.

Resolution: The transmitter must verify the Ultimate Consignee Identification Number is correctly reported. If AES does not recognize the Ultimate Consignee Identification Number, then it is not on file in AES, and the transmitter must establish a new profile for the Ultimate Consignee in the Party Profile Information Record. This includes submitting Company Name, Data Universal Numbering System (DUNS) if available, Street Address, City, State (for Mexico only) and Country.

050 FATAL ERR - MISSING ULT CONSIGNEE NAME
Data Elements: Ultimate Consignee Name

Reason: The fatal error message occurs when the Ultimate Consignee Identification Number is not reported, or is not on file in AES when reported, and the Name is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Name of the business is correctly submitted.

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051 FATAL ERR - MISSING ULT CONSIG STR ADDRESS

Data Elements: Ultimate Consignee Street Address

Reason: The fatal error message occurs when the Ultimate Consignee Identification Number is not reported, or is not on file in AES when reported, and the Street Address is missing.

Resolution: Provide the Street Address.

052 FATAL ERR - MISSING ULT CONSIGNEE CITY

Data Elements: Ultimate Consignee City

Reason: The fatal error message occurs when the Ultimate Consignee Identification Number is not reported, or is not on file in AES when reported, and the City is missing.

Resolution: Provide the City.

053 FATAL ERR - MISSING ULT CONSIGNEE STATE
054 FATAL ERR - INVALID ULT CONSIGNEE STATE

Data Elements: Ultimate Consignee State, Ultimate Consignee City

Reason: If the Country of Ultimate Destination is "MX" for Mexico, the fatal error message occurs when the Ultimate Consignee Identification Number is not reported, or is not on file in AES when reported, and the State is either missing or invalid.

Resolution: Commercial documentation or other competent information should be examined to verify the correct State of the Ultimate Consignee is reported when the Country of Ultimate Destination is "MX" for Mexico.

058 FATAL ERR - MISSING ULT CONSIGNEE ISO CTRY
059 FATAL ERR - INVALID ULT CONSIGNEE ISO CTRY

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Data Elements: Ultimate Consignee Country Code

Reason: The fatal error message occurs when the Ultimate Consignee Identification Number is not reported, or is not on file in AES when reported, and the Country Code is missing or invalid.

Resolution: Provide the two-position alpha ISO standard international country code, as given in the Harmonized Tariff Schedule or Schedule B Manual, or appendix C of this document.

<u>062 FATAL ERR - MISSING AGENT ID TYPE</u>
<u>063 FATAL ERR - INVALID AGENT ID TYPE</u>
Data Elements: Forwarding Agent Identification Number (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Agent Identification Type is missing or invalid.

Resolution: Commercial documentation or other competent information should be examined to verify the one-digit alphabetic Identification Type is reported as D, for Data Universal Numbering System (DUNS), S, for (SSN) Social Security Number, or E, for Employer Identification Number (EIN) Number.

<u>064 FATAL ERR - MISSING AGENT ID NUMBER</u>
Data Elements: Forwarding Agent Identification Number

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Forwarding Agent Identification Number (as part of the Party Profile Information Record) is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Identification Number is correctly reported in the form of the Employer Identification Number (EIN), SSN or Data Universal Numbering System (DUNS). If the Data Universal Numbering System (DUNS) is unknown, there is no charge to obtain one, just call Dun & Bradstreet at 1-800-333-0505.

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065 FATAL ERR - AGENT ID NOT ON FILE

Data Elements: Forwarding Agent Identification Number, Name, Address, City, State, Postal Code, ISO Country Code (if any)

Reason: The fatal error message occurs when a Forwarding Agent is used and the Forwarding Agent Identification Number is reported and not on file in AES.

Resolution: The transmitter must verify that when a Forwarding Agent is used, the Forwarding Agent Identification Number is correctly reported. If AES does not recognize the Forwarding Agent Identification Number, then it is not on file in AES, and the transmitter must establish a new profile for the Forwarding Agent in the Party Profile Information Record. This includes submitting Company Name, Identification Number, Street Address, City, State, Postal Code, Country, Contact Person, and Contact Person's Phone Number.

070 FATAL ERR - MISSING AGENT NAME

Data Elements: Forwarding Agent Name (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Name is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Name of the business is correctly submitted.

071 FATAL ERR - MISSING AGENT STREET ADDRESS

Data Elements: Forwarding Agent Street Address (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Street Address is missing.

Resolution: Provide the Street Address.

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<u>072 FATAL ERR - MISSING AGENT CITY</u>
Data Elements: Forwarding Agent City (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the City is missing.

Resolution: Provide the City.

<u>073 FATAL ERR - MISSING AGENT STATE</u>
<u>074 FATAL ERR - INVALID AGENT STATE</u>
Data Elements: Forwarding Agent State (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the two-digit character abbreviation Postal State Code or Province is invalid or missing.

Resolution: Provide the State code. The Exporter and Agent must provide the two-digit character abbreviation U.S. State Code or two-digit Province.

<u>075 FATAL ERR - MISSING AGENT POSTAL CODE</u>
Data Elements: Forwarding Agent Postal Code (if any)

Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Postal Code (maximum nine-digits) is missing.

Resolution: Provide the Postal Code (maximum nine-digits) which pertains to the city and state of the Forwarding Agent. The warning message occurs when the Forwarding Agent Identification Number is not on file in AES and the Postal Code is missing.

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076 FATAL ERR - MISSING AGENT CONTACT PERSON
      Data Elements: Forwarding Agent Contact Name (if any)

      Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Contact Name is missing.

      Resolution: Provide the Name of the person to contact for verification of the export shipment.

077 FATAL ERR - MISSING AGENT CONTACT PHONE NO
      Data Elements: Forwarding Agent Contact Phone Number (if any)

      Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Contact Phone Number is missing.

      Resolution: Provide the Phone Number of the Contact Person.

078 FATAL ERR - MISSING AGENT ISO COUNTRY
079 FATAL ERR - INVALID AGENT ISO COUNTRY
      Data Elements: Forwarding Agent Country Code (if any)

      Reason: The fatal error message occurs when the Forwarding Agent Identification Number is not on file in AES when reported, and the Country Code is missing or invalid.

      Resolution: Provide the two-position alpha ISO standard international country code of the Harmonized Tariff Schedule or Schedule B Manual, or appendix C of this document.

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082 FATAL ERR - MISSING INT CONSIGNEE ID TYPE
083 FATAL ERR - INVALID INT CONSIGNEE ID TYPE
>   Data Elements: Party ID Type, ID Number, Party Type

>   Reason: The fatal error message occurs when the Intermediate Consignee ID number (SSN, EIN or DUNS) has been reported, but the ID Type corresponding to the ID number as either a S for SSN, E for EIN or D for DUNS is missing.

>   Resolution: Provide either a S for SSN, E for EIN or D for DUNS which corresponds to the ID Number.

084 FATAL ERR - MISSING INT CONSIGNEE ID NMBR
>   Data Elements: Intermediate Consignee Identification Type, Intermediate Consignee Identification Number

>   Reason: The fatal error message occurs when a valid Intermediate Consignee Identification Type has been reported and the Intermediate Consignee Identification Number is missing.

>   Resolution: The transmitter must verify that when an Identification Type has been reported that an Identification Number is correctly reported. If the Identification Number is unknown, then NO Identification Type should be reported.

085 FATAL ERR - INT CONSIG ID NOT ON FILE
>   Data Elements: Intermediate Consignee Identification Number, Name, Address, City, State, Postal Code, ISO Country Code

>   Reason: The fatal error message occurs when the Intermediate Consignee Identification Number is reported and not on file in AES.

>   Resolution: The transmitter must verify that when the shipment involves an intermediate consignee, the Intermediate Consignee Identification Number is correctly reported. If AES does not recognize the Intermediate Consignee Identification Number, then it is not on file in AES, and the transmitter must establish a new profile for the Intermediate Consignee in the Party Profile Information Record. This includes submitting Company Name, Data Universal Numbering System (DUNS) if available, Street Address, City, and Country. Note: the DUNS can be obtained at no charge by calling Dun & Bradstreet at 1-800-333-0505.

090 FATAL ERR - MISSING INT CONSIGNEE NAME

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Data Elements: Intermediate Consignee Name (if any)

Reason: The fatal error message occurs when the Intermediate Consignee Identification Number is not on file in AES when reported, and the Name is missing.

Resolution: Commercial documentation or other competent information should be examined to verify the Name of the business is correctly submitted.

091 FATAL ERR - MISSING INT CONSIG STR ADDRESS
Data Elements: Intermediate Consignee Street Address (if any)

Reason: The fatal error message occurs when the Intermediate Consignee Identification Number is not on file in AES when reported, and the Street Address is missing.

Resolution: Provide the Street Address.

092 FATAL ERR - MISSING INT CONSIGNEE CITY
Data Elements: Intermediate Consignee City (if any)

Reason: The fatal error message occurs when the Intermediate Consignee Identification Number is not on file in AES when reported, and the City is missing.

Resolution: Provide the City.

093 FATAL ERR - MISSING INT CONSIGNEE STATE
094 FATAL ERR - INVALID INT CONSIGNEE STATE
Data Elements: Intermediate Consignee Country (if any), Intermediate Consignee State (if any)

Reason: If the Intermediate Consignee Country is "MX" for Mexico, the fatal error message occurs when the Intermediate Consignee Identification Number is not on file in AES when reported, and the State is either missing or invalid.

Resolution: Commercial documentation or other competent information should be examined to verify the correct State of the Intermediate Consignee is reported when the Intermediate Consignee Country is "MX" for Mexico.

098 FATAL ERR - MISSING INT CONSIGNEE ISO CTRY
099 FATAL ERR - INVALID INT CONSIGNEE ISO CTRY

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Data Elements: Intermediate Consignee Country Code (if any)

Reason: The fatal error message occurs when the Intermediate Consignee Identification Number is not on file in AES when reported, and the Country Code is missing or invalid.

Resolution: Provide the two-position alpha ISO standard international country code of the Harmonized Tariff Schedule or Schedule B Manual, or appendix C of this document.

105 FATAL ERR - MISSING SCAC/IATA NUMBER
106 FATAL ERR - SCAC/IATA NUMBER NOT ON FILE   **Changed 11/15/96**
    Data Elements: SCAC/IATA

Reason: The fatal error message occurs when the SCAC or IATA number is missing or not on file in AES. The SCAC for vessel and truck is issued by the NMFTA (National Motor Freight Traffic Association). The SCAC for rail is issued by the AAR (American Association of Railroads). The IATA codes are issued by IATA (International Air Transport Association).

Resolution: The NMFTA, AAR or IATA should be contacted or other competent information should be examined to verify that the SCAC or IATA is correctly reported. The SCAC is the standard identification for vessel, rail, and truck carriers. The IATA is the standard identification for air carriers.

110 FATAL ERR - MISSING SHIPMENT REF NUMBER
    Data Elements: Shipment Reference Number

Reason: The fatal error message occurs when the Shipment Reference Number is incomplete or missing.

Resolution: Provide the Shipment Reference Number which identifies the export shipment with the transmitter. This number, created by the transmitter may consist of a Bill of Lading Number, an Invoice Number, or a Company's Internal Reference Number. The transmitter is the company responsible for transmitting the data and can verify the shipment by this Unique Shipment Reference Number.

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111 FATAL ERR - DUP EXPORT TRANSACTION NUMBER

Data Elements: Transmitter ID, Shipment Reference Number

Reason: The fatal error message occurs for new shipments when the Transmitter ID plus the Shipment Reference Number created an Export Transaction Number which already exists on file in AES. This number must be unique for **FIVE** years.

Resolution: For a new shipment, provide a different Shipment Reference Number in order to create a unique Export Transaction Number.

112 FATAL ERR - EXPORT TRANS NUMBER NOT FOUND

Data Elements: Transmitter ID, Shipment Reference Number, Shipment Correction Flag

Reason: The fatal error message occurs when the Header or Line Correction Flag is reported as C, for change or D, for delete, but the Export Transaction Number is invalid or not on file in AES.

Resolution: When changing or deleting a shipment or line, provide the correct Transmitter ID and Shipment Reference Number that match to the original "ADD" shipment or line.

113 FATAL ERR - INVALID HEADER CORRECTION FLAG

Data Elements: Correction Flag

Reason: The fatal error message occurs when the Correction Flag is invalid.

Resolution: Commercial documentation or other competent information should be examined to verify the one-digit alphabetic Correction Flag is reported as C=change shipment, or D=delete shipment.

114 FATAL ERR - INVALID LINE CORRECTION FLAG

Data Elements: Correction Flag

Reason: The fatal error message occurs when the Correction Flag is invalid.

Resolution: Commercial documentation or other competent information should be examined to verify the one-digit alphabetic Correction Flag is reported as C=change line, or D=delete line.

115 FATAL ERR - LINE NUMBER NOT FOUND

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<u>116 FATAL ERR - DUPLICATE LINE NUMBER</u>
Data Elements: Line Number, Line Correction Flag

Reason: The fatal error message occurs for a new line item when the Line Number already exists on file, or for an update to a line item when the Line Number is not found as part of the specific shipment.

Resolution: Commercial documentation or other competent information should be examined to verify that each line number is unique per shipment and the correct line number exists in AES for update.

<u>117 FATAL ERR - MISSING MODE OF TRANSPORTATION</u>
<u>118 FATAL ERR - INVALID MODE OF TRANSPORTATION</u>
Data Elements: Mode of Transportation

Reason: The fatal error message occurs when the Mode of Transportation is invalid or missing.

Resolution: The transmitter must provide the mode of transportation (air, rail, vessel, truck, etc) as indicated by the two position numeric code in the record layouts, such as 11 for a containerized shipment exported by vessel.

<u>119 FATAL ERR - MISS CNTRY OF ULT DESTINATION</u>
<u>120 FATAL ERR - INVALID CNTRY OF ULT DESTINATION</u>
Data Elements: Country of Ultimate Destination

Reason: The fatal error message occurs when the ISO Country Code is invalid or missing. The Country of Ultimate Destination must be reported using the two position ISO Country Code, as given in the Harmonized Tariff Schedule, or Appendix C. This cannot be U.S. unless the port of exportation is Puerto Rico.

Resolution: Commercial documentation or other competent information should be examined to verify the correct Country of Ultimate Destination. Resubmit with the correct ISO Country Code, as given in the Harmonized Tariff Schedule, or Appendix C.

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121 FATAL ERR - MISSING PORT OF UNLADING
122 FATAL ERR - INVALID PORT OF UNLADING   **Changed 11/15/96**

Data Elements: Port of Unlading, Mode of Transportation, Country of Ultimate Destination

Reason: The fatal error message occurs when the Mode of Transportation is ocean or air, and the Port of Unlading is invalid or missing. If the Country of Ultimate Destination is U.S. or Puerto Rico, the Port of Unlading must be a four-digit numeric Customs Port Code. If the Country of Ultimate Destination is **not** U.S. or Puerto Rico, the Port of Unlading must be a five-digit numeric code.

Resolution: When the Mode of Transportation is ocean or air, commercial documentation or competent information should be examined to verify the Port of Unlading representing the foreign port and country at which the merchandise will be unladen from the exporting carrier is correctly reported as listed in the Schedule K. For trade between U.S. and Puerto Rico, the Schedule D Customs Port code must be submitted. The Schedule K Codes can be obtained by calling the Foreign Trade Division, Bureau of the Census, Washington, DC (301) 457-2317. The Schedule D Codes can obtained in the Harmonized Tariff Schedule or Schedule B Manual, AES file, or Appendix D.

123 FATAL ERR - MISSING PORT OF EXPORTATION
124 FATAL ERR - INVALID PORT OF EXPORTATION

Data Elements: Port of Exportation, Mode of Transportation, Country of Ultimate Destination

Reason: The fatal error message occurs when the Port of Exportation code is invalid or missing. For trade between Puerto Rico and the U.S., the Port of Exportation must not be a port of Puerto Rico. If the Country of Ultimate Destination is U.S., the Port of Exportation must be a port of Puerto Rico.

Resolution: Commercial documentation or other competent information should be examined to verify the U.S. port of exportation is a four position numeric code which can be found in Schedule D of the Harmonized Tariff Schedule or Schedule B Manual, AES file, or Appendix D.

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125 FATAL ERR - MISSING HAZMAT INDICATOR
126 FATAL ERR - INVALID HAZMAT INDICATOR
>   Data Elements: Hazardous Material Indicator, HS or Schedule B Number
>
>   Reason: The fatal error message occurs when the Hazardous Materials Indicator is missing or anything other than Y for YES or N for NO.
>
>   Resolution: Commercial documentation or other competent information should be examined to verify whether the commodity is classified as a Hazardous Material. Report **Y** for YES or **N** for NO.

127 FATAL ERR - MISSING INBOND CODE
128 FATAL ERR - INVALID INBOND CODE
>   Data Elements: Inbond Code
>
>   Reason: The fatal error message occurs when the Inbond Code reported is invalid or missing.
>
>   Resolution: The two-digit numeric code should be entered to specify whether or not an Inbond shipment exists. The codes are as follows: 70=not Inbond; 62=(T&E) transportation and exportation; 63=(IE) immediate exportation; 36=warehouse withdrawal for IE; 37=warehouse withdrawal for T&E; 67=IE from a (FTZ) foreign trade zone; 68=T&E from a (FTZ) foreign trade zone.

129 FATAL ERR - MISSING ENTRY NUMBER
130 FATAL ERR - INVALID ENTRY NUMBER FORMAT
>   Data Elements: Entry Number, Inbond Code, Export Information Code
>
>   Reason: The fatal error message occurs when an Inbond Code is reported, or a warning message occurs when the Export Information Code for Drawback is entered, and the Entry Number may have too few numbers, inserted dashes, spaces or other special characters, or it may be missing entirely.
>
>   Resolution: Commercial Documentation or competent information should be examined to verify when the Inbond Code is reported or for Drawback Exports, a valid fifteen-digit Import Entry Number or Drawback Entry Number is correctly reported.

APPENDIX A: COMMON ERROR MESSAGES

<u>131 FATAL ERR - MISSING EQUIP/BOOKING NUMBER</u>   **Changed 11/15/96**
Data Elements: Equipment Number, Booking Number, Mode of Transportation

Reason: The fatal error message occurs when the Mode of Transportation is 11, 21, 31, or 41 and the equipment number or booking number is missing.

Resolution: When the Mode of Transportation is reported as 11, 21, 31, or 41 (for containerized cargo), correctly report the container number in the Equipment Number field or report the Booking Number in the Booking Number field. You are required to report one or the other, but not both.

<u>132 FATAL ERR - MISSING EXP INFORMATION CODE</u>
<u>133 FATAL ERR - INVALID EXP INFORMATION CODE</u>
Data Elements: Export Information Code

Reason: The fatal error message occurs when the Export Information code is invalid or missing.

Resolution: Commercial documentation or other competent information should be examined to verify that a correct alphanumeric Export Information Code, listed in Appendix E, is correctly reported.

<u>134 FATAL ERR - MISSING HS OR SCHED B NUMBER</u>
<u>135 FATAL ERR - INVALID HS OR SCHED B NUMBER</u>
Data Elements: HS or Schedule B Number, Commodity Description

Reason: The fatal error message occurs when the HS or Schedule B Number is missing, or is improperly formatted. The HS or Schedule B Numbers are numeric and 10 positions. This error does not apply to the Export Information Codes that require limited information.

Resolution: Commercial documentation or other competent information should be examined to verify the HS or Schedule B Number is correctly reported. For assistance, consult the Harmonized Tariff Schedule or the Schedule B - Classification of Exports Manual (or files if available), AES file, or call the *Foreign Trade Division, Bureau of the Census, Washington, DC* (301) 457-2981 for classification assistance.

APPENDIX A: COMMON ERROR MESSAGES

<u>136 FATAL ERR - OUTDATED HS OR SCHED B NUMBER</u>
Data Elements: HS or Schedule B Number

Reason: The error message occurs when the HS or Schedule B Number being reported expired over 30 days ago.

Resolution: Commercial documentation or other competent information should be examined to verify that the HS or Schedule B Number is correctly reported. An up-to-date HS or Schedule B Number must be reported. For assistance, consult the Harmonized Tariff Schedule or the Schedule B - Classification of Exports Manual (or files if available), AES file, or call the *Foreign Trade Division, Bureau of the Census, Washington, DC* (301) 457-2981 for classification system.

<u>137 FATAL ERR - ZERO VALUE UNACCEPTABLE</u>
Data Elements: Value of Goods

Reason: The fatal error message occurs when the Value of Goods is zero.

Resolution: Commercial documentation or other competent information should be examined to verify the Value of Goods reported is the selling price or cost if not sold, including inland freight, insurance, and other charges to U.S. Port of Exportation, but excluding unconditional discounts and commissions. The Value of Goods must be rounded to the nearest whole dollar, omit cents.

<u>138 FATAL ERR - ZERO GROSS SHIP WGHT UNACCEPT</u>
Data Elements: Gross Shipping Weight

Reason: The fatal error message occurs when the Gross Shipping Weight is zero.

Resolution: Commercial documentation or other competent information should be examined to verify the Gross Shipping Weight is correctly reported in KILOGRAMS, including the weight of containers, but excluding carrier equipment. [Multiply Pounds (LBS) by .4536 to get Kilograms (KG)]; Gross Shipping Weight may be estimated, but must be rounded to whole numbers, omit decimals. A Shipping Weight less than 1 kg must be rounded up to 1 kg.

APPENDIX A: COMMON ERROR MESSAGES

139 FATAL ERR - MISS VEHICLE ID NUMBER (VIN)
140 FATAL ERR - INVAL VEHICLE ID NUMBER (VIN)
141 FATAL ERR - MISSING VEHICLE TITLE NUMBER
142 FATAL ERR - INVALID VEHICLE TITLE NUMBER
143 FATAL ERR - MISS VEHICLE STATE OF TITLE
144 FATAL ERR - INVAL VEHICLE STATE OF TITLE

Data Elements: Vehicle Identification Number (VIN), Vehicle Title Number, Vehicle State of Title, HS or Schedule B Number, Commodity Description

Reason: The fatal error message occurs when the shipment contains USED, self-propelled vehicles, and the VIN, Vehicle Title Number, and Vehicle State of Title are invalid or missing.

Resolution: Commercial Documentation or competent information should be examined to verify when certain HS or Schedule B Numbers pertaining to USED vehicles requiring VINs, that the VIN(s), Vehicle Title Number(s), and Vehicle State of Title(s) are correctly reported.

145 FATAL ERR - MISSING PRODUCT ID NUMBER

Data Elements: Product Identification Number (PIN), HS or Schedule B Number, Commodity Description

Reason: The fatal error message occurs when the shipment contains USED, self-propelled vehicles not having a VIN, and the PIN is missing.

Resolution: Commercial Documentation or competent information should be examined to verify when certain HS or Schedule B Numbers pertain to USED vehicles not having VINs, that the PIN(s) are correctly reported.

APPENDIX A: COMMON ERROR MESSAGES

146 FATAL ERR - USED VEHICLE NOT FOUND

Data Elements: Vehicle Identification Number (VIN), Product Identification Number (PIN), Vehicle ID Qualifier, Vehicle Correction Flag

Reason: The fatal error message occurs when the transmitter attempts to make a change or delete a VIN or PIN and the VIN or PIN is not on file in AES.

Resolution: Commercial Documentation or competent information should be examined to verify that the correct VIN or PIN has been reported when making the change or deletion. The change or deletion would occur when the transmitter provides a "C" or "D" in the Vehicle Correction Flag field.

148 FATAL ERR - MISS US STATE OF ORIGIN CODE
149 FATAL ERR - INVAL US STATE OF ORIGIN CODE

Data Elements: State of Origin Code

Reason: A fatal error message occurs when the U.S. State of Origin two-position code is invalid or missing.

Resolution: Commercial documentation or other competent information should be examined to verify that the two-position U.S. Postal Service abbreviation of the State or U.S. territory in which the merchandise actually starts its journey to the port of export is correctly reported.

155 FATAL ERR - MISSING COMMODITY LINES

Data Elements: Shipment Correction Flag, Line Correction Flag and Line Number.

Reason: A fatal error message occurs when no commodity lines are submitted with a new shipment.

Resolution: When adding a new shipment, submit at least one commodity line item.

APPENDIX A: COMMON ERROR MESSAGES

The following error messages will not cause a rejection of the transaction. However, if the information is not correctly re-submitted into AES prior to the exporting carrier receiving the goods, the shipment will automatically be held.

<u>309 WARN ERR - OUTDATED LICENSE CODE</u>   **Added 11/15/96**
Data Elements: License Code, estimated date of export

Reason: This warning message occurs when the three-position License Code is outdated.   The code is outdated if the estimated date of export is not within the begin and end date range.

Resolution: Confirm that the estimated date of export is within the range of the begin and end dates for the reported License Code. Refer to Appendix F for an update of the License Codes.

<u>310 WARN ERR - MISSING LICENSE CODE</u>
<u>311 WARN ERR - INVALID LICENSE CODE</u>
Data Elements: License Code

Reason: The warning message occurs when the three-position License Code is invalid or missing.

Resolution: Commercial documentation or other competent information should be examined to verify the correct three-position License Code is reported designating the type of License or Permit required for the commodity. Appendix F of this document contains a list of valid License Codes. For further clarification of the problem, the transmitter should contact the licensing agency.

APPENDIX A: COMMON ERROR MESSAGES

312 WARN ERR - MISSING LICENSE NUMBER/CFR CIT
313 WARN ERR - INVALID LICENSE NUMBER
    Data Elements: License Number/License CFR Citation, License Code

    Reason: The warning message occurs when a License Code requires a License Number/CFR Citation and the License Number or License CFR Citation is missing or License Number is invalid.

    Resolution: Approved licenses or competent information should be examined to verify when a License Code requires a License Number/CFR Citation be submitted, that the License Number for this commodity **OR** CFR Citation is correctly reported. CFR Exemption Citations for State/ODTC should reflect why the merchandise is exempt from license application. CFR Citations for the Nuclear Regulatory Commission and the Treasury's Office of Foreign Assets Control should reflect why the merchandise qualifies for export under a NRC or OFAC "general" license. For further clarification of the problem, the transmitter should contact the licensing agency. The *Dept. of State/Off. of Defense Trade Controls, Licensing Division* can be reached at 703-875-6637. The Dept. of Commerce/Bureau of Export Administration, Office of Enforcement Support can be reached at 202-482-4255. The *Nuclear Regulatory Commission* can be reached at 301-415-2342. The *Dept. Of the Treasury/Office of Foreign Assets Control* can be reached at 202-622-2520.

315 WARN ERR - MISSING ECCN
316 WARN ERR - INVALID ECCN
    Data Elements: Export Control Classification Number (ECCN), License Code

    Reason: The warning message occurs when a License Code requiring an ECCN is reported, and the ECCN is invalid or missing. A four-digit or five-digit ECCN number is required. When a five digit ECCN is reported, the fifth digit should be reported in the filler position.

    Resolution: The Department of Commerce, BXA approved licenses or competent information should be examined to verify the four-position number corresponding to the COCOM export control structure format is the same as the ECCN submitted into AES. The correct four-position ECCN must be resubmitted. For further clarification of the problem, the transmitter should contact the licensing agency. *The Dept. of Commerce/Bureau of Export Administration, Office of Enforcement Support* can be reached at 202-482-4255.

317 WARN ERR - INVAL DEST CNTRY FOR LICENSE
    Data Elements: Country of Destination, License Code, License Number/License

APPENDIX A: COMMON ERROR MESSAGES

Exemption Citation

Reason: The warning message occurs when a License Number is required and the Country of Destination reported into AES does not match the Country of Destination specified on the Department of State, ODTC approved License.

Resolution: The Department of State, ODTC approved License or competent information should be examined to verify the Country of Destination listed on the License is the same as the Country of Destination submitted into AES. The correct two-position Standard International Country Code (ISO) must be resubmitted. For further clarification of the problem, the transmitter should contact the licensing agency. *The Dept. of State/Off. of Defense Trade Controls*, *Licensing Division* can be reached at 703-875-6637.

318 WARN ERR - DATE OF EXP EXCEEDS LICENSE
Data Elements: License Code, License Number/License Exemption Citation, Date of Exportation

Reason: The warning error message occurs when the License for this commodity has expired prior to the date of exportation.

Resolution: Approved licenses or competent information should be examined to verify that either the date of exportation or the License Number have been correctly reported. For further clarification of the problem, the transmitter should contact the licensing agency. The *Dept. of State/Off. of Defense Trade Controls*, *Licensing Division* can be reached at 703-875-6637. The *Dept. of Commerce/Bureau of Export Administration, Office of Enforcement Support* can be reached at 202-482-4255.

APPENDIX A: COMMON ERROR MESSAGES

The following warning messages will not result in a rejected transaction. However, if the transmitter receives one of these warning messages, the information is required to be correctly resubmitted prior to the goods departing the port or up to the four day delayed filing period. Attempts to continuously ignore these warning messages will be audited and violators may be subject to fines and/or penalties.

 319 WARN ERR - OUTDATED EXPORT INFO CODE   **Added 11/15/96**
        Data Elements: Export Information Code, Estimated Date of Export

        Reason: This warning message occurs when the two-position Export Information Code is outdated. The code is outdated if the estimated date of export is not within the begin and end date range.

        Resolution: Confirm that the estimated date of export is within the range of the begin and end dates for the reported export information code. Consult appendix F for an update of the Export Information Codes.

320 WARN ERR - INVALID DISCLOSURE INDICATOR
        Data Elements: Disclosure Indicator

        Reason: The warning message occurs when the Disclosure Indicator is invalid.

        Resolution: The indicator should be entered to specify whether or not the manifest information covered under the Freedom of Information Act may be publicly disclosed. The indicators are as follows: Y or leave blank=allow public disclosure; N=no public disclosure.

APPENDIX A: COMMON ERROR MESSAGES

<u>325 WARN ERR - RELATED PARTY INDICATOR MISSING</u>
<u>326 WARN ERR - INVALID RELATED PARTY INDICATOR</u>
 Data Elements: Related Party Indicator

 Reason: The warning message occurs when the Related Party Indicator is
 missing or invalid. A Related Party Transaction is one between the U.S.
 Exporter and the foreign Consignee, when the person owns (directly or indirectly)
 at any time during the fiscal year, 10 percent or more of the voting securities of
 the incorporated business enterprise, or an equivalent interest of an
 unincorporated business enterprise, including a branch.

 Resolution: The indicator should be entered to specify whether or not the
 Exporter and Consignee are related. The indicators are as follows:
 1=Exporter/Consignee are RELATED; 2=Exporter/Consignee are NOT
 RELATED.

<u>327 WARN ERR - SANCTION ON COUNTRY OF ULT DEST</u>
 Data Elements: Country of Destination

 Reason: A warning message occurs when the Country of Ultimate Destination
 reported is on the list of countries under sanction.

 Resolution: Commercial documentation or other competent information should
 be examined to verify the correct Country of Ultimate Destination. Resubmit with
 the correct ISO Country Code, as given in the Harmonized Tariff Schedule, or
 appendix C of this document. The transmitter should check with local Customs
 to see what procedures should be followed in each individual case.

<u>328 WARN ERR - OUTDATED COUNTRY CODE</u>   **Added 11/15/96**
 Data Elements: Country Code, Estimated Date of Export

 Reason: This warning message occurs when the two-position ISO Country Code
 is outdated. The code is outdated if the estimated date of export is not within the
 begin and end date range.

 Resolution: Confirm that the estimated date of export is within the range of the
 begin and end dates for the reported Country Code. Consult appendix C for an
 update of the Country Codes.

APPENDIX A: COMMON ERROR MESSAGES

<u>329 WARN ERR - OUTDATED PORT OF UNLADNG</u>   **Added 11/15/96**
Data Elements: Port of Unlading, Estimated Date of Export

Reason: This warning message occurs when the five-position Port of Unlading is outdated. The code is outdated if the estimated date of export is not within the begin and end date range.

Resolution: Confirm that the estimated date of export is within the range of the begin and end dates for the reported Port of Unlading. Consult the updated version of the Schedule K in appendix H for up to date Ports of Unlading.

<u>330 WARN ERR - MISSING CONVEYANCE NAME</u>
<u>331 WARN ERR - INVALID CONVEYANCE NAME</u>   **Changed 11/15/96**
Data Elements: Conveyance Name, Mode of Transportation

Reason: The warning message occurs when the MOT is ocean, air, rail or truck and the Conveyance Name is missing or invalid. It is invalid if you report "vessel", "airplane", "train", "truck", or "international foot bridge".

Resolution: Commercial Documentation or competent information should be examined to verify when the Mode of Transportation is Ocean, the Name of the Vessel transporting the merchandise is correctly reported. When the MOT is aur, rail or truck, the carrier name must be reported.

<u>332 WARN ERR - MISSING VESSEL FLAG</u>
<u>333 WARN ERR - INVALID VESSEL FLAG</u>
Data Elements: Vessel Flag, Conveyance Name, Mode of Transportation

Reason: A warning message occurs when the Mode of Transportation is Ocean and the Vessel Flag is missing or invalid.

Resolution: Provide the Country Flag of the Vessel and resubmit with the correct ISO code as given in the Harmonized Tariff Schedule, or appendix C of this document.

APPENDIX A: COMMON ERROR MESSAGES

334 WARN ERR-INVALID PORT OF EXP FOR VESSEL

Data Elements: Port of Exportation, Mode of Transportation

Reason: A warning message occurs when the Port of Exportation code submitted is impossible for shipments exported by vessel (MOT=10, 11 or 12).

Resolution: Commercial documentation or other competent information should be examined to verify the U.S. port of exportation submitted is an acceptable port of export for vessel shipments. This is a four position numeric code which can be found in Schedule D of the Harmonized Tariff Schedule or Schedule B Manual, AES file, or appendix D of this document.

335 INFO ERR - SHIPMENT REPORTED LATE

Data Elements: Date of Exportation, Date or Arrival, Correction Flag

Reason: The information message occurs when the Header Correction Flag is missing and the Line Correction Flag is missing and the Date of Exportation or [Date of Arrival for exports between the U.S. and Puerto Rico] precedes the system date. This shows the transmission was not made pre-departure.

Resolution: Verify the Date of Exportation [or Date of Arrival for exports between the U.S. and Puerto Rico] is correctly reported. If correct, please ensure that future shipments are reported prior to the carrier's departure.

336 WARN ERR - MISSING WAIVER INDICATOR
337 WARN ERR - INVALID WAIVER INDICATOR

Data Elements: Waiver of Prior Notice Indicator, Export Information Code

Reason: The warning occurs when the Export Information Code for Drawback is entered and the Waiver of Prior Notice is missing or not reported as Y for YES or N for NO.

Resolution: For Drawback Exports, **Y** for YES or **N** for NO must be reported to identify whether a drawback claimant has received a waiver of prior notice for the exported merchandise.

APPENDIX A: COMMON ERROR MESSAGES

<u>338 WARN ERR - INVALID FOREIGN TRADE ZONE</u>
  Data Elements: Foreign Trade Zone Number

  Reason: The warning message occurs when the export originates in a Foreign Trade Zone and the Foreign Trade Zone (FTZ) Number is not acceptable.

  Resolution: Commercial documentation or other competent information should be examined to verify the Foreign Trade Zone Number is correctly reported when the export originates from a Foreign Trade Zone.

<u>339 WARN ERR - MISSING COMMODITY DESCRIPTION</u>
  Data Elements: Commodity Description, HS or Schedule B Number

  Reason: The warning message occurs when the Commodity Description is missing.

  Resolution: Commercial documentation or other competent information should be examined to verify that a sufficient Commercial Description is reported in common trade terms to permit verification of the HS or Schedule B Number or the description shown on a export license.

<u>340 WARN ERR - INVALID HMF EXEMPTION CODE</u>
  Data Elements: HMF Exemption Code, Mode of Transportation, Value of Goods

  Reason: The warning message occurs when the commodity is subject to a Harbor Maintenance Fee and the one-letter code to identify the type of HMF exemption claimed for the transaction is invalid.

  Resolution: The transmitter must verify the one-letter Harbor Maintenance Fee Exemption Code, which can be found in Appendix G, is correctly reported.

APPENDIX A: COMMON ERROR MESSAGES

<u>341 WARN ERR - MISSING HMF EXEMPTION AMOUNT</u>
<u>342 WARN ERR - INVALID HMF EXEMPTION AMOUNT</u>
>   Data Elements: HMF Exemption Amount, HMF Exemption Code

>   Reason: The warning message occurs when the shipment is subject to a Harbor
>   Maintenance Fee and the amount claimed as the HMF exemption is invalid or
>   missing.

>   Resolution: When the HMF exemption code is **other than** "Z" or blank, the
>   transmitter must verify the HMF Exemption amount is correctly reported in a
>   numeric format and rounded to the nearest whole dollar, omit cents.

<u>343 WARN ERR - MISS NET 1ST UNIT OF MEASURE</u>
<u>344 WARN ERR - INVAL NET 1ST UNIT OF MEASURE</u>
<u>345 WARN ERR - MISS NET 2ND UNIT OF MEASURE</u>
<u>346 WARN ERR - INVAL NET 2ND UNIT OF MEASURE</u>
<u>347 WARN ERR - QTY UNITS DO NOT MATCH HS REQ</u>
>   Data Elements: Net First Unit of Measure, Net Second Unit of Measure, Net
>   First Quantity, Net Second Quantity, HS or Schedule B Number

>   Reason: The warning message occurs when an invalid or missing Net Unit of
>   Measure is reported, or the Net Unit of Measure does not correlate to the HS or
>   Schedule B Number reported.

>   Resolution: Commercial documentation or other competent information should
>   be examined to verify the Unit of Measure is correctly reported. Consult the
>   Harmonized Tariff Schedule or Schedule B manual to locate the correct Unit of
>   Measure for the appropriate HS or Schedule B Number. For example, an invoice
>   may read 84 gallons of crude petroleum, but crude petroleum under HS or
>   Schedule B Number requires the Net First Unit of Measure in Barrels (of 42
>   gallons), therefore the correct Net First Quantity reported should be 2.

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<u>348 WARN ERR - MISSING DOMESTIC/FOREIGN CODE</u>
<u>349 WARN ERR - INVALID DOMESTIC/FOREIGN CODE</u>
> Data Elements: Domestic/Foreign Code
>
> Reason: The warning message occurs when the Domestic/Foreign Code reads other than "D" or "F".
>
> Resolution: Commercial documentation or other competent information should be examined to verify that either "D" is reported for Domestic exports - merchandise grown, produced, or manufactured (including imported merchandise which has been enhanced in value) in the United States; or "F" is reported for Foreign exports - merchandise that has entered the United States and is being reexported in the same condition as when imported.

<u>350 WARN ERR - INVALID ALT STATEMENT STATE</u>
> Data Elements: Alternate HMF Billing State
>
> Reason: The warning message occurs when the Alternate HMF Billing Identification Number is not on file in AES and the Alternate HMF Billing two-digit character abbreviation Postal State Code reported is invalid.
>
> Resolution: Provide the U.S. State or territory code.

<u>351 VERIFY - OUTDATED HS OR SCHED B NUMBER</u>
> Data Elements: HS or Schedule B Number
>
> Reason: The Informational message occurs when the HS or Schedule B Number has expired, however Census is granting to the filer the use of this Number for 30 days after the expiration date.
>
> Resolution: Commercial documentation or other competent information should be examined to verify that the HS or Schedule B Number is correctly reported. An up-to-date HS or Schedule B Number must be reported. For assistance, consult the Harmonized Tariff Schedule or the Schedule B - Classification of Exports Manual (or files if available), AES file, or call the *Foreign Trade Division*, *Bureau of the Census, Washington, DC* (301)457-2981 for classification system.

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<u>352 WARN ERR - INVALID MOT FOR AIRPORT</u>   **Added 11/15/96**
        Data Elements: Port of Exportation, Mode of Transportation

        Reason: A warning message occurs when the Port of Exportation code
submitted is impossible for shipments exported by Air (MOT=40 or 41).

        Resolution: Commercial documentation or other competent information should
be examined to verify the U.S. port of exportation submitted is an acceptable
airport of export. This is a four position numeric code which can be found in
Schedule D of the Harmonized Tariff Schedule or Schedule B Manual, AES file,
or appendix D of this document.

<u>353 WARN ERR-INVALID PORT EXP FOR OVERLAND</u>   **Added 11/15/96**
        Data Elements: Port of Exportation, Mode of Transportation

        Reason: A warning message occurs when the Port of Exportation code
submitted is impossible for overland shipments (MOT=20, 21, 30, 31).

        Resolution: Commercial documentation or other competent information should
be examined to verify the U.S. port of exportation submitted is an acceptable
land border port of export. This is a four position numeric code which can be
found in Schedule D of the Harmonized Tariff Schedule or Schedule B Manual,
AES file, or appendix D of this document.

APPENDIX A: COMMON ERROR MESSAGES

The U.S. Customs Service has incorporated the Bureau of Census export parameters, or statistical averages for commodity price ranges, destination countries, quantity-to-quantity ratios, and more, into the Automated Export System (AES). Census error messages result when discrepancies occur between what Census usually finds for a particular commodity and the data given on an export shipment transaction. Census error messages do not always mean an export shipment transaction is in error, just that the information given is *unlikely* to be true. If the messages do indicate errors, the export information must be corrected. If, however, the "*unlikely*" information is true, no changes need be made to the export shipment transaction. Note: Six Census error messages are warnings and require responses.

The Census error messages are arranged in groups with related reasons for error and related resolutions. Each message in this appendix has a three-part explanation. First, Data Element: (if applicable) lists the individual items with which AES has found an error or discrepancy. Second, the Reason for the error message discusses the most common causes of the error, and lastly, the Resolution which provides guidelines for resolving the error. If applicable, relevant data sources (appendices and directives) are also provided.

APPENDIX A: COMMON ERROR MESSAGES

8L1 VERIFY - VAL/QUANT 1 OUT OF RANGE LOW
8L2 VERIFY - VAL/QUANT 2 OUT OF RANGE LOW
8H1 VERIFY - VAL/QUANT 1 OUT OF RANGE HIGH
8H2 VERIFY - VAL/QUANT 2 OUT OF RANGE HIGH
> Data Elements: HS or Schedule B, Quantity 1 and Unit of Measure 1, Quantity 2
> and Unit of Measure 2, Value of Goods, Country of Ultimate Destination
> For example, VALUE/QUANTITY 1 OUT OF RANGE LOW means the ratio of
> the value to the first quantity is outside the normal range for that commodity; the
> ratio is too low.
>
> Reason: The informational message occurs when the unit value of an item is not
> within expected parameters. The unit value is determined by dividing the value
> of goods by the reported quantity. For example, lawn-tennis balls, the number of
> tennis balls exported must be reported. If the HS number is shown with a value
> of $10,000 for 50 tennis balls, the value of each ball equals $200 ($10,000 / 50
> each = $200 each). This is an unlikely price for a single tennis ball. Another
> example would be a guided missile with a unit value of $200.
>
> Resolution: Commercial documentation or other competent information should
> be examined to verify the HS or Schedule B, reported quantities and value of
> goods are correct. Make certain the quantities are reported in metric units as
> required. Check any conversion, such as foreign currency to US dollars or unit
> conversions such as tons to kilograms. Retransmit corrected information.

8PI VERIFY-IMPRB COMMODITY FOR FIXED TRNSPRT
> Data Elements: HS or Schedule B, Mode of Transportation
>
> Reason: The informational message occurs when the filer attempts to export
> certain commodities by fixed transport, ie pipeline or electrical energy. Only
> exports under the following first two digits of the HS or Schedule B are
> acceptable: 22, 25, 27, 28, 29, 44, 47.
>
> Resolution: Commercial documentation or other competent information should
> be examined to verify that the HS or Schedule B number is reported correctly. In
> addition, the MOT should be reviewed to ensure it's correct reporting.

APPENDIX A: COMMON ERROR MESSAGES

8QR VERIFY - QUANT RELATION OUT OF RANGE
>
> Data Elements: HS or Schedule B, Quantity 1 and Unit of Measure 1, Quantity 2 and Unit of Measure 2
>
> Reason: The informational message occurs when the relationship between the two quantities required by the HS or Schedule B are not within expected parameters. For example, sodium hydroxide in aqueous solution has "kg" (kilograms) and "ckg" (content kilograms) as the units of measure. The content kilograms should never be more that the net kilograms. Typewriter or similar ribbons have "doz" (dozen) and "kg" (kilograms) as the units of measure. One dozen ribbons are not going to weigh 100 kilograms.
>
> Resolution: Commercial documentation or other competent information should be examined to verify the quantities and the HS or Schedule B are correct. Check any unit conversions such as tons to kilograms or ounces to grams. Make certain the quantities are reported in metric units as required by the HS or Schedule B. Retransmit corrected information.

8Q1 WARN ERR - QUANTITY 1 EXCEEDS MAXIMUM
8Q2 WARN ERR - QUANTITY 2 EXCEEDS MAXIMUM
>
> Data Elements: Quantity 1 and Unit of Measure 1, Quantity 2 and Unit of Measure 2
>
> Reason: The warning message occurs when the quantities reported exceed the maximum allowed for the data element. Quantities this large are very unlikely. The transmitter is expected to respond to these warning messages.
> Quantity 1 Maximum = 100,000,000
> Quantity 2 Maximum = 100,000,000
>
> Resolution: Commercial documentation or other competent information should be examined to verify the correct quantity was entered in AES. Check for possible data input error. *Note*: Quantities should be reported in whole numbers only. Retransmit corrected information.

APPENDIX A: COMMON ERROR MESSAGES

<u>8SO VERIFY - OTH MOT SWT TOO HIGH FOR COMMOD</u>
<u>8SR VERIFY - RAIL SWT TOO HIGH FOR COMMODITY</u>
<u>8ST VERIFY - TRCK SWT TOO HIGH FOR COMMODITY</u>   **Added 11/15/96**

> Data Elements: HS or Schedule B, Shipping Weight (SWT), Mode of
> Transportation (MOT), Exporting Carrier

> Reason: The informational message occurs for rail, truck and other modes of
> transportation shipments when the gross shipping weight reported for the HS or
> Schedule B is too high based on normal gross shipping weight limitations for the
> reported method of transportation.

> Resolution: Commercial documentation or other competent information should
> be examined to verify the HS or Schedule B, the mode of transportation, and the
> gross shipping weight are correct. Retransmit corrected information.

<u>8SW WARN ERR - SHIP WEIGHT EXCEEDS MAXIMUM</u>   **Changed 11/15/96**

> Data Element: Shipping Weight

> Reason: The warning message occurs when the gross shipping weight reported
> exceeds the maximum allowed for the data element. A shipping weight this large
> is very unlikely. The transmitter is expected to respond to this warning message.
> Vessel Maximum = 135,000,000 Kilograms; Air Maximum = 105,000 Kilograms
> Maximum shipping weights are also established by the Bureau of the Census for
> rail, truck and other modes of transportation. Filers must keep the shipping
> weight within these parameters as well.

> Resolution: Commercial documentation or other competent information should
> be examined to verify the gross shipping weight reported is correct. Check for
> possible data input error. Note: Shipping weight should be reported in kilograms
> in whole numbers only. Retransmit corrected information.

APPENDIX A: COMMON ERROR MESSAGES

8VL WARN ERR - VALUE OF GOODS EXCEEDS MAXIMUM
> Data Element: Value of Goods
>
> Reason: The warning message occurs when the value of goods reported exceeds the maximum allowed for the data element, normally $100,000,000. A value this large is very unlikely. The transmitter is expected to respond to this warning message.
>
> Resolution: Commercial documentation or other competent information should be examined to verify the value of goods reported is correct. Check for possible data input error. Note: Value should be reported in whole dollars only, not dollars and cents. Retransmit corrected information.

8VW VERIFY - VALUE/SHIP WEIGHT OUT OF RANGE
> Data Elements: HS or Schedule B, Value of Goods, Shipping Weight
>
> Reason: The informational message occurs when the value of goods is divided by the gross shipping weight and the price per kilogram is not within expected parameters for the HS or Schedule B.
>
> Resolution: Commercial documentation and other competent information should be examined to verify the HS or Schedule B, value of goods and the gross shipping weight are correct. Note: This edit is usually performed when the unit of measure 1 equals "X". Retransmit corrected information.

8W1 VERIFY - SHIP WGHT/QUANT 1 OUT OF RANGE
8W2 VERIFY - SHIP WGHT/QUANT 2 OUT OF RANGE
> Data Elements: HS or Schedule B, Shipping Weight, Quantity 1 and Unit of Measure 1, Quantity 2 and Unit of Measure 2
>
> Reason: The informational message occurs when the gross shipping weight is divided by either quantity 1 or quantity 2 and the resulting ratio is not within expected parameters for that HS or Schedule B. Note: This edit is usually performed when the unit of measure is a net weight like kilograms or tons.
>
> Resolution: Commercial documentation or other competent information should be examined to verify the gross shipping weight, quantities, and units of measure are correct. Note: Shipping weight should always be reported as the **gross** weight, including packing. Quantity units of measure always require a **net** weight. Retransmit corrected information.

808 VERIFY - IMPROBABLE CTRY OF DESTINATION
> Data Elements: Country of Ultimate Destination, Harmonized Tariff Schedule

APPENDIX A: COMMON ERROR MESSAGES

(HS) or Schedule B

Reason: The informational message occurs when certain commodities are unlikely to be exported to the country. For example, Crude oil would not be exported to Saudi Arabia (SA), nor would snowmobiles be exported to Jamaica (JM).

Resolution: Commercial documentation or other competent information should be examined to verify the country of ultimate destination and the HS or Schedule B are correct. Retransmit corrected information.

809 WARN ERR - ZERO QUANTITY 1 UNACCEPTABLE
810 WARN ERR - ZERO QUANTITY 2 UNACCEPTABLE
        Data Elements: HS or Schedule B, Quantity 1 and Unit of Measure 1, Quantity 2 and Unit of Measure 2

        Reason: The warning message occurs when the reported quantity 1 or quantity 2 is zero and a quantity greater than zero is required by the HS or Schedule B. The transmitter is expected to respond to these warning messages.

        Resolution: Commercial documentation or other competent information should be examined to verify the HS or Schedule B, quantity 1 and unit of measure 1, or quantity 2 and unit of measure 2 are correct. Often the quantity is reported in the wrong units. Note: Occasionally the quantity may be reported as a fraction of a unit. In such cases, change the quantity to the next whole number. Retransmit corrected information.

821 VERIFY - VESS SWT TOO HIGH FOR COMMODITY
826 VERIFY - AIR SWT TOO HIGH FOR COMMODITY   **Added 11/15/96**
        Data Elements: HS or Schedule B, Shipping Weight (SWT), Mode of Transportation (MOT), Exporting Carrier

        Reason: The informational message occurs for vessel and air shipments when the gross shipping weight reported for the HS or Schedule B is too high based on normal gross vessel and air shipping weight limitations.

        Resolution: Commercial documentation or other competent information should be examined to verify the HS or Schedule B, the mode of transportation, and the gross shipping weight are correct. Retransmit corrected information.

835 VERIFY - VALUE TOO HIGH FOR COMMODITY
836 VERIFY - VALUE TOO LOW FOR COMMODITY
        Data Elements: HS or Schedule B, Value of Goods

APPENDIX A: COMMON ERROR MESSAGES

Reason: The informational message occurs when the value of goods reported for the HS or Schedule B is too high or too low based on normal expectations. For example, no passenger transport airplane should be valued at $5,000. This value is too low for the commodity exported.

Resolution: Commercial documentation or other competent information should be examined to verify the HS or Schedule B and value of goods are correct. Retransmit corrected information.

<u>837 VERIFY - QUANT 1 TOO HIGH FOR COMMODITY</u>
<u>838 VERIFY - QUANT 1 TOO LOW FOR COMMODITY</u>
<u>839 VERIFY - QUANT 2 TOO HIGH FOR COMMODITY</u>
<u>840 VERIFY - QUANT 2 TOO LOW FOR COMMODITY</u>
Data Elements: HS or Schedule B, Quantity 1 and Unit of Measure 1, Quantity 2 and Unit of Measure 2

Reason: The informational message occurs when the quantities reported for the HS or Schedule B are either too high or too low based on normal expectations. For example, warships sailing under their own power are not exported more than one at a time. A quantity greater than 1 would be too high for the commodity.

Resolution: Commercial documentation or other competent information should be examined to verify the HS or Schedule B, the reported quantities and units of measure are correct. Retransmit corrected information.

APPENDIX A: COMMON ERROR MESSAGES

850 VERIFY - IMPROB FOREIGN/DOMESTIC ORIGIN
  Data Elements: HS or Schedule B, Foreign/Domestic Code

  Reason: The informational message occurs when the commodity exported is
  unlikely to be of Domestic origin, Foreign origin, or in some cases, both Domestic
  or Foreign origin. For example, there are no Domestic exports of bananas;
  likewise there are no foreign exports of American pima cotton. Also, it is unlikely
  that live, fresh or chilled squid, regardless of origin, are exported because they
  spoil quickly.

  Resolution: Commercial documentation or other competent information should
  be examined to verify the HS or Schedule B and Foreign/Domestic code are
  correct. Retransmit corrected information. Note that domestic exports represent
  merchandise grown, produced or manufactured in the United States (including
  imported merchandise which has been enhanced in value or changed from the
  form in which imported by further manufacture or processing in the United
  States). Foreign exports represent merchandise that has entered the United
  States and is being reexported in the same condition as imported.

851 VERIFY - IMPROBABLE AIR SHIPMENT   **Added 11/15/96**
  Data Elements: HS or Schedule B, Mode of Transportation, Exporting Carrier

  Reason: The informational message occurs when the mode of transportation is
  air, but the commodity is unlikely to be shipped by air. For example, explosive
  substances, petroleum coke, coal of all classifications, rail locomotives, fire
  engines, yachts, and floating docks are unlikely to be shipped by air.

  Resolution: Commercial documentation or other competent information should
  be examined to verify the HS or Schedule B and the mode of transportation are
  correct. Retransmit corrected information.

APPENDIX A: COMMON ERROR MESSAGES

<u>853 VERIFY - IMPROB CTRY FOR MILITARY GOODS</u>
Data Elements: Country of Ultimate Destination, Harmonized Tariff Schedule (HS) or Schedule B

Reason: The informational message occurs when military commodities are exported to the countries of Cuba (CU), Chile (CL), Hungary (HU), Russia (RU), Byelarus (BY), Ukraine (UK), Armenia (AM), Azerbaijan (AZ), Georgia (GE), Kazakhstan (KZ), Moldova (MD), Tajikistan (TJ), Turkmenistan (TM), Uzbekistan (UZ), Albania (AL), Romania (RO), Bulgaria (BG), Syria, (SY), Iran (IR), Vietnam (VN), Mongolia (MN), North Korea (KP), Libya (LY), Republic of South Africa (ZA), Iraq (IQ), Kyrgyzstan (KG), Yugoslavia (YU), or Angola (AO) since trade in these commodities with these countries is unlikely. This list of countries was last updated August 1, 1995.

Resolution: Commercial documentation or other competent information should be examined to verify the country of ultimate destination and the HS or Schedule B are correct. Retransmit corrected information.

APPENDIX A: COMMON ERROR MESSAGES

The following messages occur when the Exporter, or Forwarding Agent, Carrier or NVOCC acting on behalf of the Exporter, submits data. These messages accompany the specific fatal error, verify or warning messages described above.

994 FATAL ERRORS - MUST RETRANSMIT SHIPMENT

> Reason: This message occurs due to the submission of inaccurate or incomplete data. The accompanying error message specifies the specific cause of the fatal error. Since it is a fatal error, no data was accepted and the shipment must be retransmitted.
>
> Resolution: Follow the instructions in the resolution of the specific error message, 001 to 299. Retransmit corrected information.

995 SHIPMENT ACCEPTED - MUST CORRECT WARNINGS

> Reason: This message occurs due to invalid or missing data. The accompanying error message specifies the specific data item that is missing or invalid. The shipment was accepted, but the data element in question should be corrected and the shipment must be retransmitted.
>
> Resolution: Follow the instructions in the resolution of the specific error message. Retransmit corrected information within four days of departure of the shipment.

996 SHIPMENT ACCEPTED - MUST VERIFY DATA

> Data Elements:
>
> Reason: This message occurs because data is inconsistent. The accompanying error message specifies the specific data item that is unlikely to be valid. The shipment was accepted, but the data element in question must be verified and if found to be incorrect, the shipment must be retransmitted.
>
> Resolution: Follow the instructions in the resolution of the specific error message. Retransmit corrected information if necessary.

997 SHIPMENT ACCEPTED AS TRANSMITTED

> Reason: This message notifies the participant that the shipment was accepted as transmitted without errors.
>
> Resolution: None.